


09/21/01


UTILITY
PATENT APPLICATION
TRANSMITTAL

new nonprovisional applications under 37 CFR 1.53(b)

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| Attorney Docket No. | 214258US2S |
| First Inventor or Application Identifier | Michiharu MATSUI, et al. |
| Title | NONVOLATILE SEMICONDUCTOR MEMORY DEVICE HAVING ELEMENT ISOLATING REGION OF TRENCH TYPE AND METHOD OF MANUFACTURING THE SAME |
| Assignee Name: | |
| Assignee Address: | |

| | |
|--|--|
| APPLICATION ELEMENTS -See MPEP chapter 600 concerning utility patent application contents | ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231 |
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification Total Sheets 80</p> <p>3. <input checked="" type="checkbox"/> Formal Drawing(s) (35 U.S.C. 113) Total Sheets 33</p> <p>4. <input type="checkbox"/> Oath or Declaration Total Pages <input type="text"/></p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d)) (for continuation / divisional w/ box 17 completed)</p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b).</p> <p>5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification or Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> Paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> | ACCOMPANYING APPLICATION PARTS <p>7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>8. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> <p>9. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations (1)</p> <p>12. <input type="checkbox"/> Preliminary Amendment</p> <p>13. <input checked="" type="checkbox"/> White Advance Serial No. Postcard</p> <p>14. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)</p> <p>15. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>16. <input checked="" type="checkbox"/> Other: Statement of Relevancy, List of Related Cases, Cited Pending Applications (1)</p> |
| <p>17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application no.: Prior application information: Examiner: Group Art Unit:</p> <p>For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.</p> | |
| <p>18. Amend the specification by inserting before the first line the sentence:</p> <p><input type="checkbox"/> This application is a <input type="checkbox"/> Continuation <input type="checkbox"/> Division <input type="checkbox"/> Continuation-in-part (CIP) of application Serial No. Filed on</p> <p><input type="checkbox"/> Which was published in English</p> <p><input type="checkbox"/> Which was not published in English</p> <p><input type="checkbox"/> This application claims priority of provisional application Serial No. Filed</p> | |
| 19. CORRESPONDENCE ADDRESS | |
|  22850 (703) 413-3000 FACSIMILE: (703) 413-2220 | |

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|------------|---|-------------------|---------|
| Name: | Marvin J. Spivak | Registration No.: | 24,913 |
| Signature: |  | Date: | 9/21/01 |
| Name: | C. Irvin McClelland | Registration No.: | |

Registration Number 21,124

Docket No. 214258US2S

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Michiharu MATSUI, et al.

SERIAL NO: New Application

FILING DATE: Herewith

FOR: NONVOLATILE SEMICONDUCTOR MEMORY DEVICE HAVING ELEMENT ISOLATING REGION OF TRENCH TYPE AND METHOD OF MANUFACTURING THE SAME

FEE TRANSMITTAL

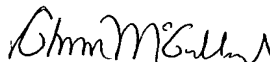
ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

| FOR | NUMBER FILED | NUMBER EXTRA | RATE | CALCULATIONS |
|--|-----------------|-----------------|-----------|--------------|
| TOTAL CLAIMS | 60 - 20 = | 40 | × \$18 = | \$720.00 |
| INDEPENDENT CLAIMS | 7 - 3 = | 4 | × \$80 = | \$320.00 |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable) | | | + \$270 = | \$0.00 |
| <input checked="" type="checkbox"/> LATE FILING OF DECLARATION | | | + \$130 = | \$130.00 |
| BASIC FEE | | | | \$710.00 |
| TOTAL OF ABOVE CALCULATIONS | | | | \$1,880.00 |
| <input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY | | | | \$0.00 |
| <input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE | | | + \$130 = | \$0.00 |
| <input type="checkbox"/> RECORDATION OF ASSIGNMENT | | | + \$40 = | \$0.00 |
| TOTAL | | | | \$1,880.00 |

- ☐ Please charge Deposit Account No. 15-0030 in the amount of _____ A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$1,880.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030.
A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.



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